# Employment Tax e-file System

# 94x XML Assurance Testing Process

Congratulations, you've passed assurance testing!!
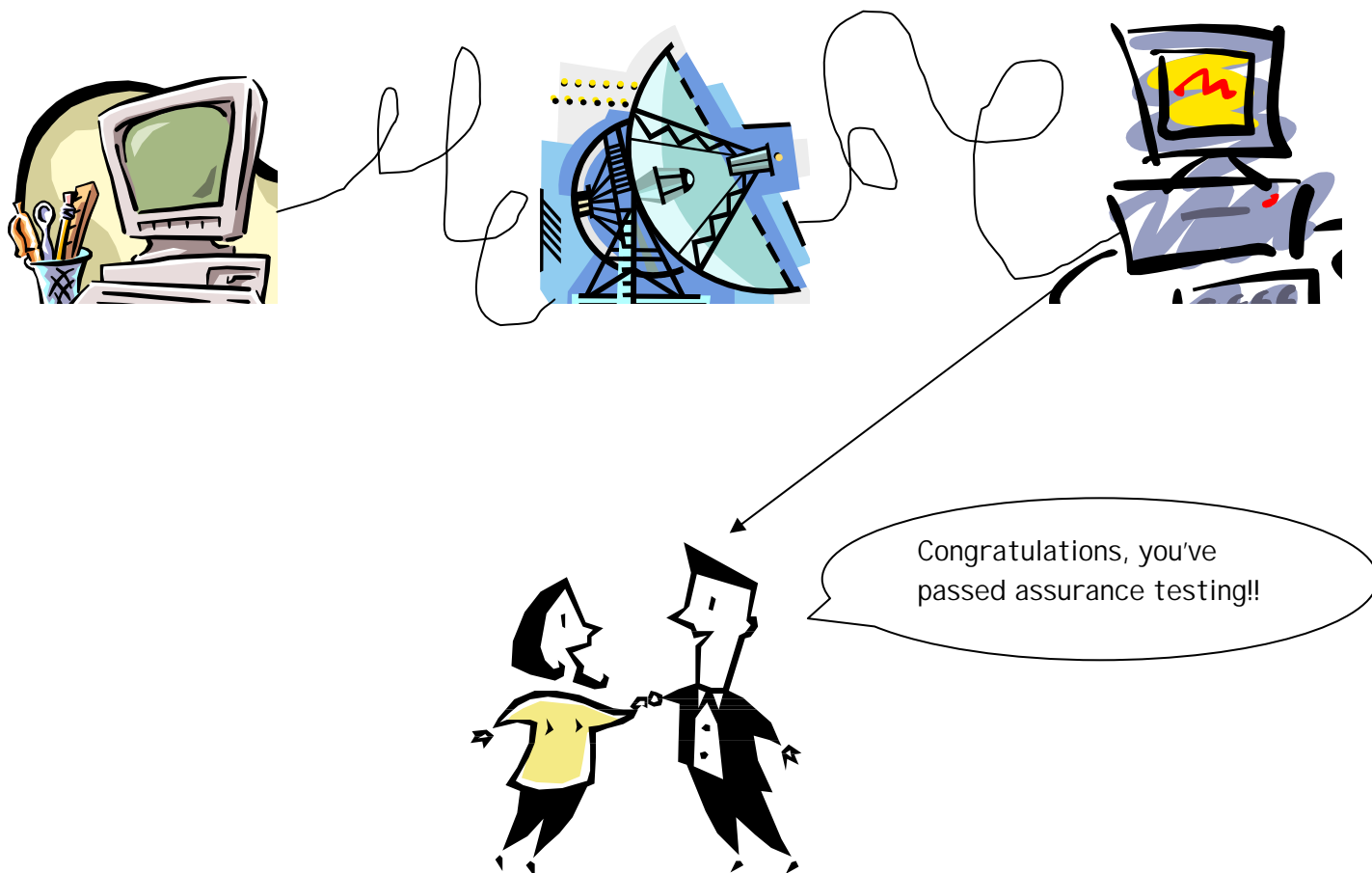
# 94x XML Assurance Testing Process

Software Developers (SWDs) should utilize the 94x XML Developers' Forum website to view the most current information on the 94x XML project, to include the latest schemas, test scenarios, and Publication 3823 (Users Guide). The website is located at: htSWD://www.irs.gov/taxpros/providers/article/0,,id=97753,00.html.

Assurance testing is two fold: for PIN registration (see Step 1) and return filing. The test scenarios provided on the above website are optional for SWDs to use. Along with the raw test data, there are also completed returns showing the correct tax computation for each test scenario. *NOTE*: SWDs can use these scenarios or create their own, since passing assurance testing is not contingent on having correct tax computation data, but rather on having a transmission that generates a clean acknowledgement file with zero reject errors (see the 'Pass/Fail Criteria' below).

SWDs (to participate in the IRS *e-file* Program) need to submit a (new or revised) Form 8633 application to the Andover Submission Processing Center (SPC) to obtain a test ETIN (electronic transmitter identification number) and password. The SWD will need to return the signed receipt for the password following the instructions in the password letter.

1) If the SWD will be providing service to online filers, they must then transmit a PIN registration in the XML format. Once a successful transmission for a PIN registration is received, the SWD can transmit other PIN registrations in the XML format on behalf of their business taxpayers. However, these SWDs will still need to test return data by contacting the Cincinnati Help Desk and following the steps below.

2) The SWD will then conduct assurance testing using return data. They should first conduct a pre-validation of the XML data in their test scenarios by using a parser, such as XML SPY, and run it against the most current XML schemas. This will help to identify most validation errors prior to sending their transmission files to the IRS. A few validations that relate to confidential taxpayer data, such as EIN, PIN, EFIN etc, can only be validated by the production system when sending in live returns and are not validated in the test environment. SWDs should test each return type in the 940/941 family that they intend to market or file live once they pass assurance testing.

3) The SWD will call (866-255-0654) the IRS Help Desk e-file Tax Examiners (TEs) in Cincinnati to state that they are ready to test. The Help Desk *e-file* TE will assign the SWD a "Software ID Number" and ensure their status is reflected as "Testing" and is available to provide direction throughout the testing process to the SWD.

4) Once the SWD have corrected all of their errors from the pre-validation test in step 2, the SWD will then be enabled to use their test ETIN and password to transmit their test return files.

5) Once the test return files have been processed through EMS and the 94x XML system, the IRS will create and send either an XML acknowledgement file (ACK) or negative acknowledgment file (NAK) that the SWDs will pick up when they login to the EMS system.

6) If all returns within the transmission are not accepted, then the SWDs will make the changes noted in the ACK/NAK file to correct the errors. They will then re-run the new file through the schema

and XML parser, and retransmit their corrected test return file to TCC.  (Steps 2-4 will be repeated)

7) If all returns are accepted with zero reject errors and the SWD can read their ACK file, then the Cincinnati Help Desk *e-file* examiner will advise the SWD that their software is approved ("Accepted" status). The approved software can now be marketed.

Notes:

- If the SWD is also a transmitter, once in "Accepted" status, their "Testing" ETIN will become their "Production" ETIN to transmit live return data. If the SWD wants to continue testing with their own test data, they must call the IRS Help Desk e-file Tax Examiners (TEs) in Cincinnati and state that they need a new ETIN to recommence testing (call 866-255-0654).

Third Party Transmitters (TPTs) (to participate in the IRS *e-file* Program) need to submit a (new or revised) Form 8633 application to the Andover Submission Processing Center to obtain a test ETIN and password.

1) The TPT will call (call 866-255-0654) the IRS Help Desk e-file Tax Examiners (TEs) in Cincinnati indicating that they will be using an  IRS "Accepted" software product and need to conduct a communications test. The Help Desk *e-file* TE is available to provide direction throughout the testing process to the TPT.

2) If all returns are accepted with zero reject errors and the TPT can read their ACK file, their "Testing" ETIN becomes their "Production" ETIN which allows them to transmit live return data.

# Pass/Fail Criteria

**FOR PIN REGISTRATION:**

1. The SWD must successfully transmit a PIN registration in the XML format to the Austin Help Desk. *

**FOR RETURN PROCESSING:**

1. Successfully connect to the EMS system when initiating the transmission of a test file.
2. Successfully transmit the following employment tax return types:  941, 941 Schedule B, 941 PR, 941 C PR, 941 SS, 941 C, 940, 940 PR, Payment record, and PIN registration*.
   a. If the SWD is not planning to transmit/file certain return types in a production mode, they are exempt from testing them.
3. Successfully connect to the EMS system and retrieve their Acknowledgement file.
4. Once they have successfully completed the steps above, they will have passed assurance testing. They will now be allowed to transmit live return data in a production mode.

* Successfully is defined as not receiving any error rejects from any IRS processing system.